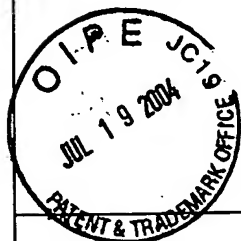


IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

## INFORMATION DISCLOSURE STATEMENT

UNDER 37 CFR §1.56, §1.97, and §1.98



PTO-1449 FORM

SHEET 1 OF 3

ATTORNEY DOCKET NO.:

R0395-00900

SERIAL NO.:

10/791,916

APPLICANTS:

Sharkey et al.

EXAMINER:

Not yet assigned

FILING DATE:

March 3, 2004

GROUP ART UNIT:

3764

## U.S. PATENT DOCUMENTS

† EXR INITIAL	* REF. #	PATENT NUMBER	DATE (MO/YR)	NAME	U.S. CLASS/ SUBCLASS	FILING DATE (If appropriate)
	A1	3,874,388	4/75	King et al.		
	A2	4,007,743	2/77	Blake		
	A3	4,619,246	10/86	Molgaard-Nielsen et al.		
	A4	4,832,055	5/89	Palestrant		
	A5	5,385,156	1/95	Oliva		
	A6	5,496,277	3/96	Termin et al.		
	A7	5,527,337	6/96	Stack et al.		
	A8	5,527,338	6/96	Purdy		
	A9	5,549,621	8/96	Bessler et al.		
	A10	5,634,936	6/97	Linden et al.		
	A11	5,634,942	6/97	Chevillon et al.		
	A12	5,702,343	12/97	Alferness		
	A13	5,791,231	8/98	Cohn et al.		
	A14	5,797,849	8/98	Vesely et al.		
	A15	5,797,960	8/98	Stevens et al.		
	A16	5,829,447	11/98	Stevens et al.		
	A17	5,833,698	11/98	Hinchliffe et al.		
	A18	5,836,968	11/98	Simon et al.		
	A19	5,843,170	12/98	Ahn		
	A20	5,865,730	2/99	Fox et al.		
	A21	5,865,791	2/99	Whayne et al.		
	A22	5,871,017	2/99	Mayer		
	A23	5,875,782	3/99	Ferrari et al.		
	A24	5,876,325	3/99	Mizuno et al.		
	A25	5,876,449	3/99	Starck et al.		
	A26	5,879,366	3/99	Shaw et al.		
	A27	5,882,340	3/99	Yoon		
	A28	5,910,150	6/99	Saadat		
	A29	5,916,145	6/99	Chu et al.		
	A30	5,924,424	7/99	Stevens et al.		
	A31	5,925,076	7/99	Inoue		
	A32	5,928,260	7/99	Chin et al.		
	A33	5,961,440	10/99	Schweich, Jr. et al.		
	A34	5,961,539	10/99	Northup, III et al.		
	A35	5,984,917	11/99	Fleischman et al.		
	A36	6,024,096	2/00	Buckberg		
	A37	6,024,756	2/00	Huebsch et al.		
	A38	6,045,497	4/00	Schweich et al.		
	A39	6,059,715	5/00	Schweich et al.		
	A40	6,076,013	6/00	Brennan et al.		
	A41	6,077,214	6/00	Mortier et al.		
	A42	6,077,218	6/00	Alferness		

<b>IN THE UNITED STATES PATENT AND TRADEMARK OFFICE</b>  <b>INFORMATION DISCLOSURE STATEMENT</b> UNDER 37 CFR §1.56, §1.97, and §1.98  <b>PTO-1449 FORM</b>  SHEET 2 OF 3	ATTORNEY DOCKET NO.:  R0395-00900	SERIAL NO.:  10/791,916
	APPLICANTS:  Sharkey et al.	EXAMINER:  Not yet assigned
	FILING DATE:  March 3, 2004	GROUP ART UNIT:  3764

**U.S. PATENT DOCUMENTS CONT'D**

† EXR INITIAL	*REF. #	PATENT NUMBER	DATE (MO/YR)	NAME	U.S. CLASS/ SUBCLASS	FILING DATE (If appropriate)
	A43	6,093,199	7/00	Brown et al.		
	A45	6,095,968	8/00	Snyders		
	A46	6,096,347	8/00	Geddes et al.		
	A47	6,099,832	8/00	Mickle et al.		
	A48	6,102,887	4/00	Altman		
	A49	6,125,852	10/00	Stevens et al.		
	A50	6,132,438	10/00	Fleischman et al.		
	A51	6,152,144	11/00	Lesh et al.		
	A52	6,161,543	12/00	Cox et al.		
	A53	6,193,731	2/01	Oppelt et al.		
	A54	6,221,092	4/01	Koike et al.		
	A55	6,231,561	5/01	Frazier et al.		
	A56	6,258,021	7/01	Wilk		
	A57	6,267,772	7/01	Mulhauser et al.		
	A58	6,290,674	9/01	Roue et al.		
	A59	6,312,446	11/01	Huebsch et al.		
	A60	6,328,727	12/01	Frazier et al.		
	A61	6,334,864	1/02	Amplatz et al.		
	A62	6,343,605	2/02	Lafontaine		
	A63	6,348,068	2/02	Campbell et al.		
	A64	6,355,052	3/02	Neuss et al.		
	A65	6,360,749	3/02	Jayaraman		
	A66	6,364,896	4/02	Addis		
	A67	6,387,042	5/02	Herrero		
	A68	6,419,669	7/02	Frazier et al.		
	A69	6,436,088	8/02	Frazier et al.		
	A70	6,450,171	9/02	Buckberg et al.		
	A71	6,537,198	3/03	Vidlund et al.		
	A72	6,551,303	4/03	Van Tassel et al.		
	A73	6,592,608	7/03	Fisher et al.		
	A74	US 2001/0014800 A1	8/01	Frazier et al.		
	A75	US 2001/0019580 A1	2/02	Lau et al.		
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	A77	US 2002/0032481 A1	3/02	Gabbay		
	A78	US 2002/0055767 A1	5/02	Forde et al.		
	A79	US 2002/0055775 A1	5/02	Carpentier et al.		
	A80	US 2002/0188170 A1	12/02	Santamore et al.		
	A81	US 2002/169359 A1	11/2002	McCarthy et al.		
	A82	US 2003/149333 A1	08/2003	Alferness		

<b>IN THE UNITED STATES PATENT AND TRADEMARK OFFICE</b>  <b>INFORMATION DISCLOSURE STATEMENT</b> UNDER 37 CFR §1.56, §1.97, and §1.98  <b>PTO-1449 FORM</b>  SHEET 3 OF 3	ATTORNEY DOCKET NO.:  R0395-00900	SERIAL NO.:  10/791,916
	APPLICANTS:  Sharkey et al.	EXAMINER:  Not yet assigned
	FILING DATE:  March 3, 2004	GROUP ART UNIT:  3764

**FOREIGN PATENT DOCUMENTS**

† EXR INITIAL	*REF. #	PATENT NUMBER	DATE (MO/YR)	COUNTRY	TRANSLATION (YES/NO)
	B1	WO 00/27292	5/2000	WIPO	
	B2	WO 01/78625 A1	10/2001	WIPO	
	B3	WO 2004/012629 A	02/2004	WIPO	
	B4	WO 03/007778 A	01/2003	WIPO	

**OTHER DOCUMENTS**

† EXR INITIAL	*REF. #	Document Description (including Author, Title, Date, Pertinent Pages, Etc.)
	C1	Tetsuji Kawata et al., "Systolic and Diastolic Function After Patch Reconstruction of Left Ventricular Aneurysms", Ann. Thorac. Surg. 59, pp. 403-407, 1995
	C2	Vincent Dor, "The Treatment of Refractory Ischemic Ventricular Tachycardia by Endoventricular Patch Plasty Reconstruction of the Left Ventricle", Seminars in Thoracic and Cardiovascular Surgery, Vol. 9, No. 2, pp. 146-155, April 1997.
	C3	Daniel Giorgio Di Mattia et al., "Surgical treatment of left ventricular post-infarction aneurysm with endoventriculoplasty: late clinical and functional results", European Journal of Cardio-thoracic Surgery 15, pp. 413-419, 1999.
	C4	T Katsumata et al., "An objective appraisal of partial left ventriculectomy for heart failure", Journal of Congestive Heart Failure and Circulator Support, pp. 97-106, 1999
	C5	Vincent Dor, "Surgery for left ventricular aneurysm", Current Opinion in Cardiology, Current Science, pp. 773-780, 1990.
	C6	Vincent Dor et al., "Ventricular remodeling in coronary artery disease", Current Opinion in Cardiology, Rapid Science Publishers, pp. 533-537, 1997.
	C7	AGA Medical Corporation, <a href="http://www.amplatzer.com/products">www.amplatzer.com/products</a> , "The Muscular VSD Occluder" and "The Septal Occluder" device descriptions, 4/3/02.
	C8	Gore Medical, <a href="http://www.goremedical.com">www.goremedical.com</a> , "Helex Septal Occluder" product description, 4/3/02.

EXAMINER'S SIGNATURE	DATE CONSIDERED
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† EXAMINER: Initial if reference is considered, whether or not citation is in conformance with MPEP 609.  
 Line through citation if not in conformance and not considered.  
 Include copy of this form in next communication to applicant.

\* If an asterisk is placed beside the reference number, a copy is not provided because the reference was previously cited by or submitted to the PTO in a prior application that is identified in the statement and relied upon for an earlier filing date under 35 U.S.C. 120. 37 C.F.R. 1.98(d).